USPTO New Initiatives: Global Dossier & Patent Center

Presented by

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Lisa Tran

LI02

9/16/2016

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Global Dossier Initiative

Jessica Patterson
Program Manager
Office of International Patent Cooperation

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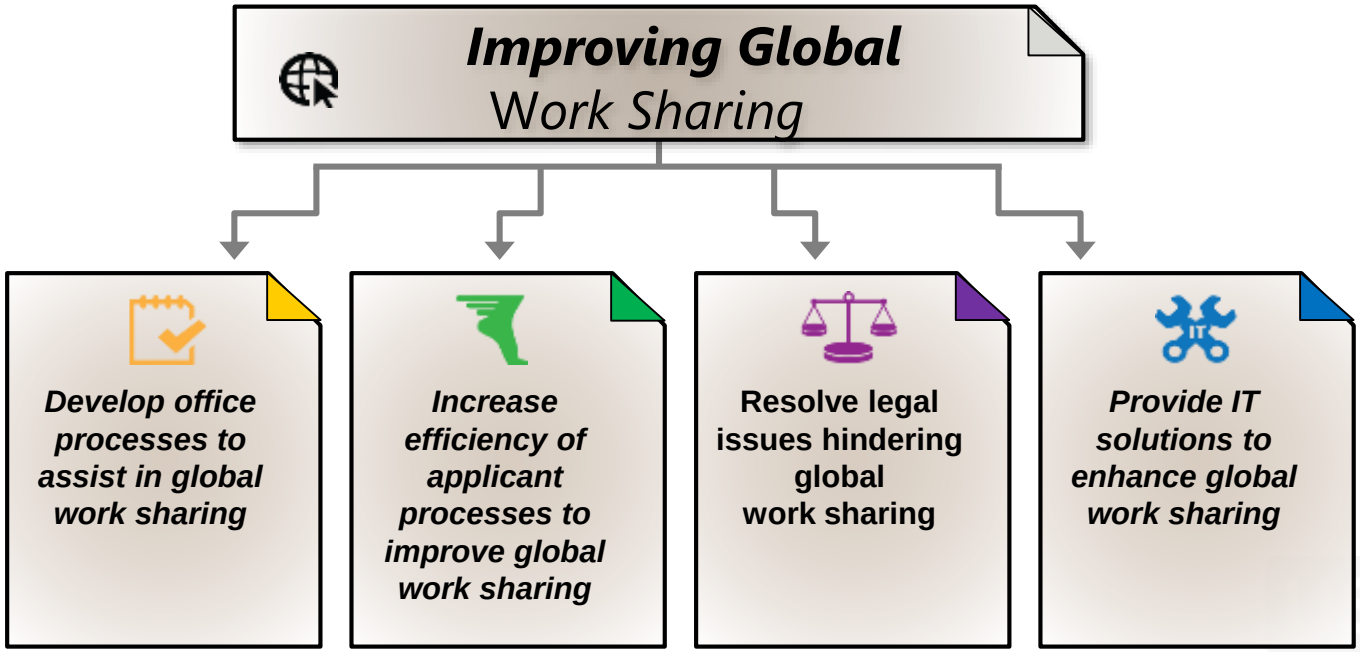
Office of International Patent Cooperation

Improve the quality, efficiency and predictability of patent family prosecution, thereby improving the certainty of global patent rights.



International Cooperation

- **Cooperation among world IP offices**
  - Trilateral
  - IP5
  - Multilateral
  - Bilateral

- **Cooperation with IP stakeholder groups**
  - Global Dossier Task Force
  - AIPPI, FICPI, ABA, PPAC, others

The IP5

- First meeting held May 2007

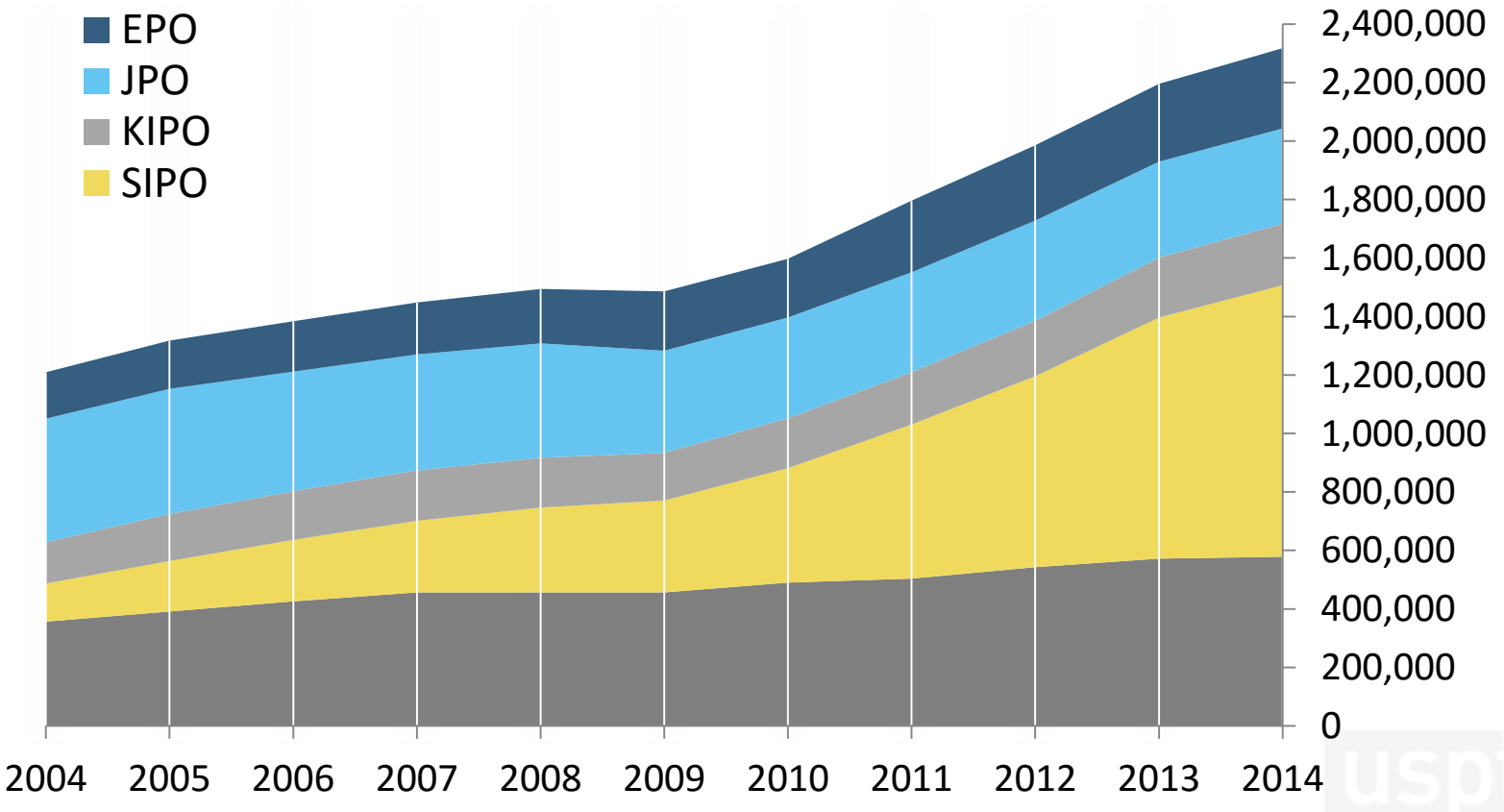
- Members:

  - European Patent Office (EPO)
  - Japan Patent Office (JPO)
  - Korean Intellectual Property Office (KIPO)
  - State Intellectual Property Office of the People's Republic of China (SIPO)
  - United States Patent & Trademark Office (USPTO)

fiveIPoffices

European Patent Office /// Japan Patent Office ///
Korean Intellectual Property Office /// State Intellectual
Property Office of the People's Republic of China ///
United States Patent and Trademark Office

Evolution of filings at the IP5 (2004-2014)



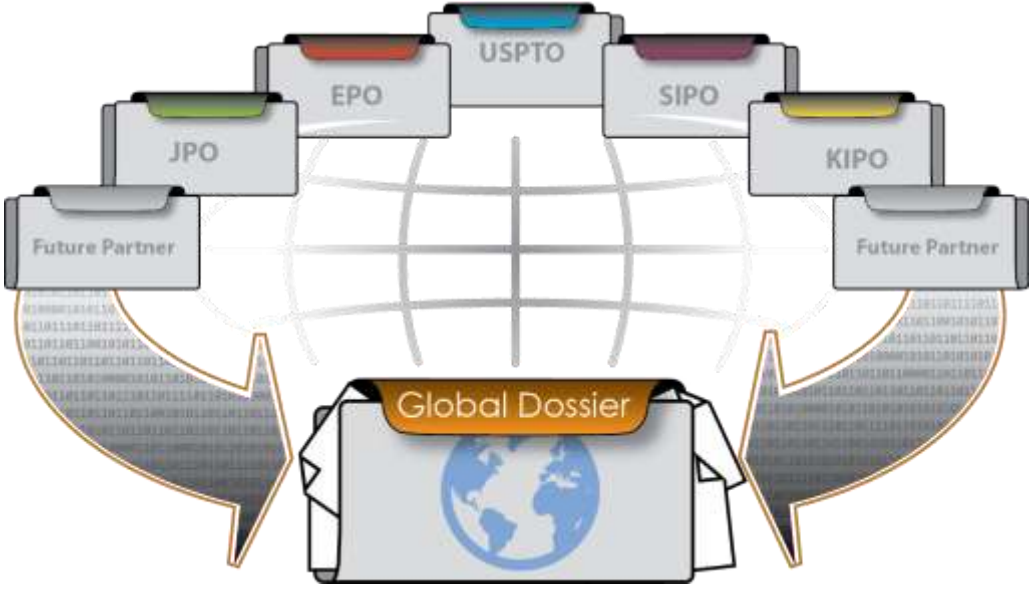
Global Dossier Task Force

Members:

- **IP5 Offices**
  - United States Patent and Trademark Office (USPTO)
  - European Patent Office (EPO)
  - Japan Patent Office (JPO)
  - Korean Intellectual Property Office (KIPO)
  - State Intellectual Property Office of the People's Republic of China (SIPO)
- **Industry IP5 Members**
  - American Intellectual Property Law Association (AIPLA)
  - Intellectual Property Owners Association (IPO)
  - Japan Intellectual Property Association (JIPA)
  - Korea Intellectual Property Association (KINPA)
  - Patent Protection Association of China (PPAC)
  - BUSINESSEUROPE
- **World Intellectual Property Organization (WIPO)**

Global Dossier

Global Dossier is a set of business services modernizing the global patent system and delivering benefits to all stakeholders



Global Dossier

Benefits of Global Dossier

Improved patent quality

Higher value patents

Increased ease of international filing

Increased procedural harmonization

Cost savings - exploit more IP!

Global Dossier

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Global Dossier Services

- Current Services
  - **Public Access**: provides access to a user-friendly online interface, which will make it easier for patent applicants to quickly and easily view, monitor, and manage intellectual property (IP) protection around the world by providing access to the dossiers of related applications filed at participating offices
  - **International Patent Family**: providers examiner access to work done by examiners on related applications at other offices
- Upcoming Future Services
  - **Document Sharing Functionality:** sharing documents between office, such as prior art exchanges and supporting documents. Viewed as a first step towards cross-filing
  - **WIPO CASE Linkage:** provides examiners and the public with access to additional participating offices outside of the IP5

Global Dossier
First Release Demo

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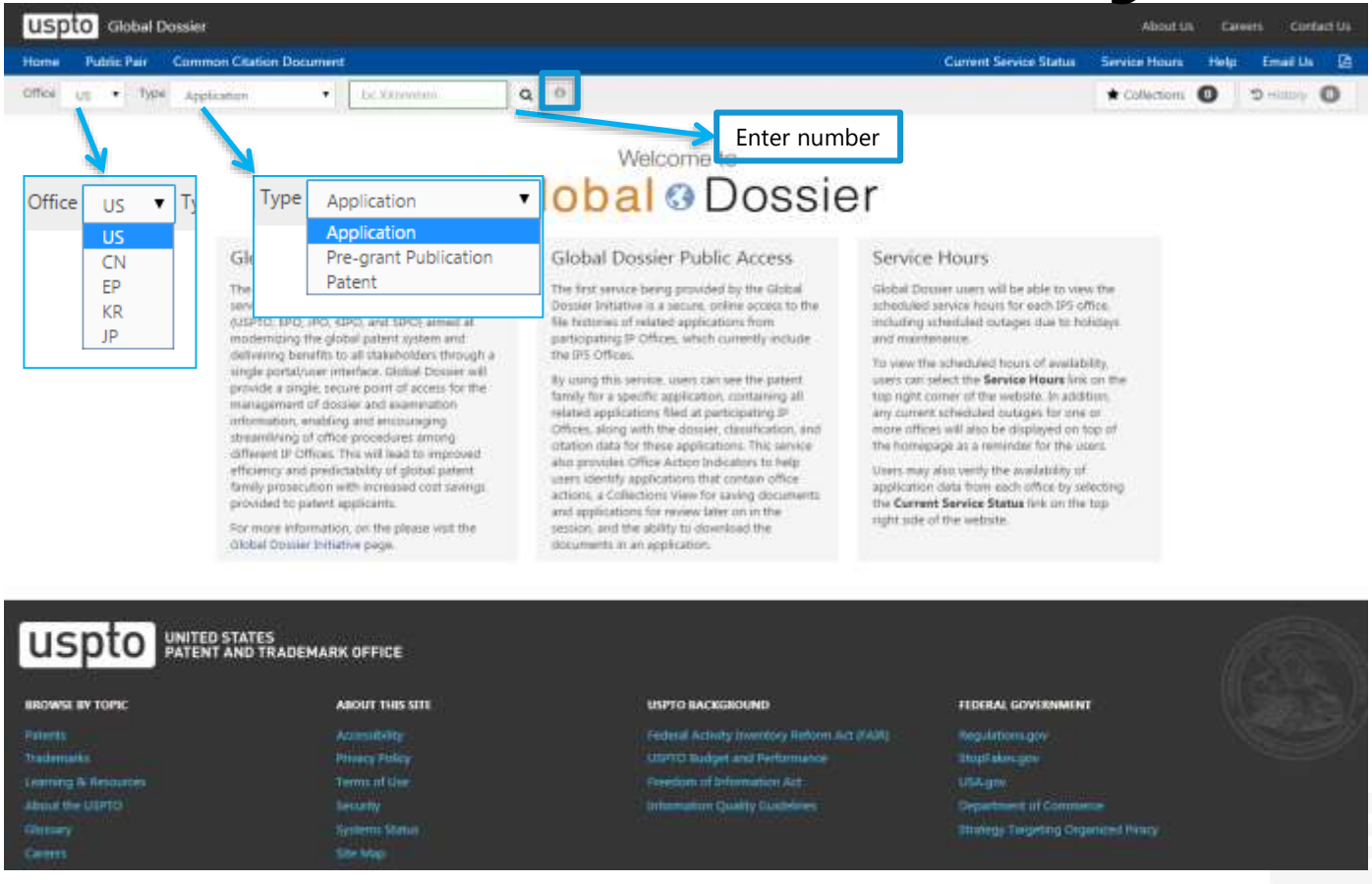
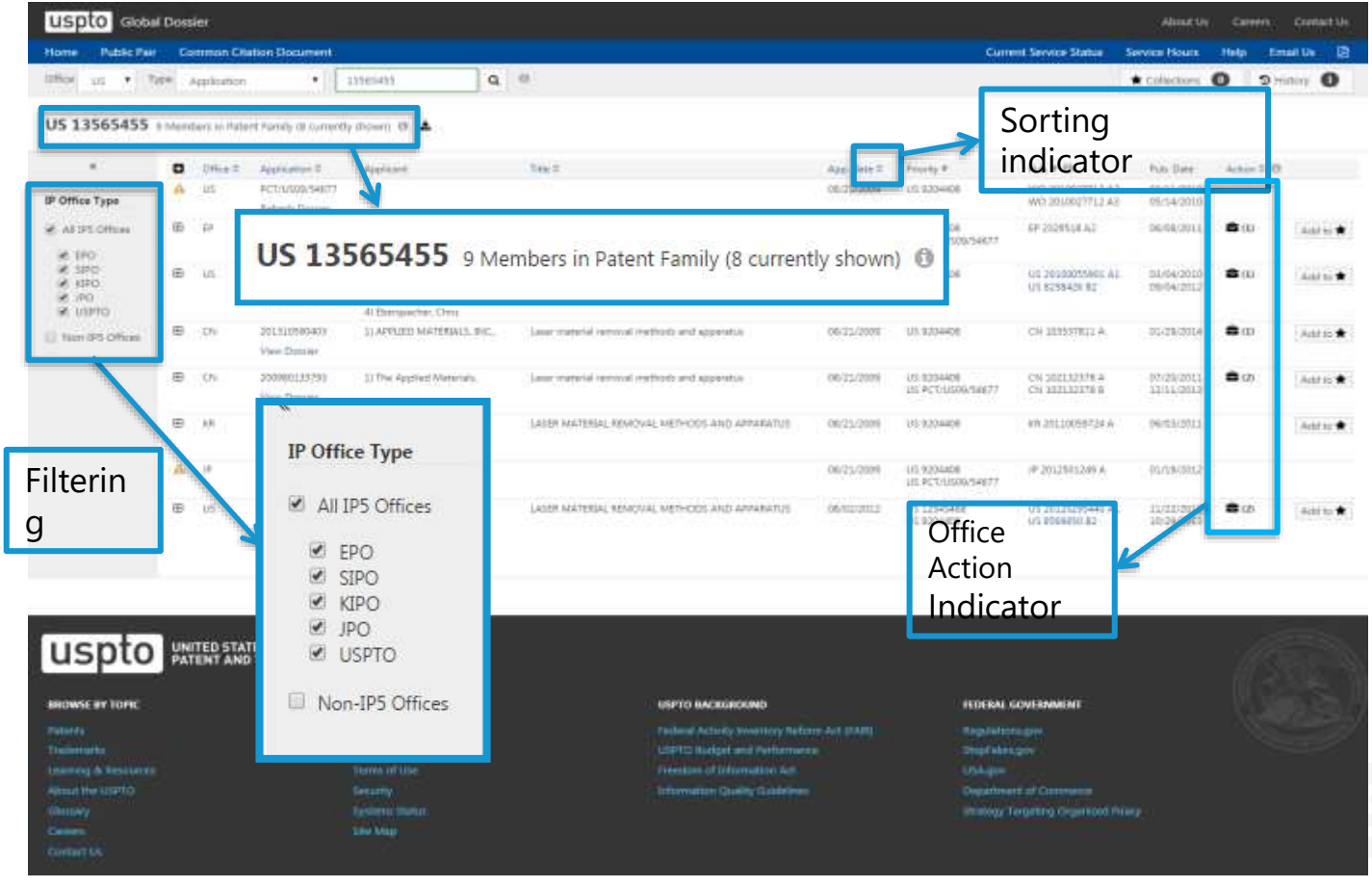
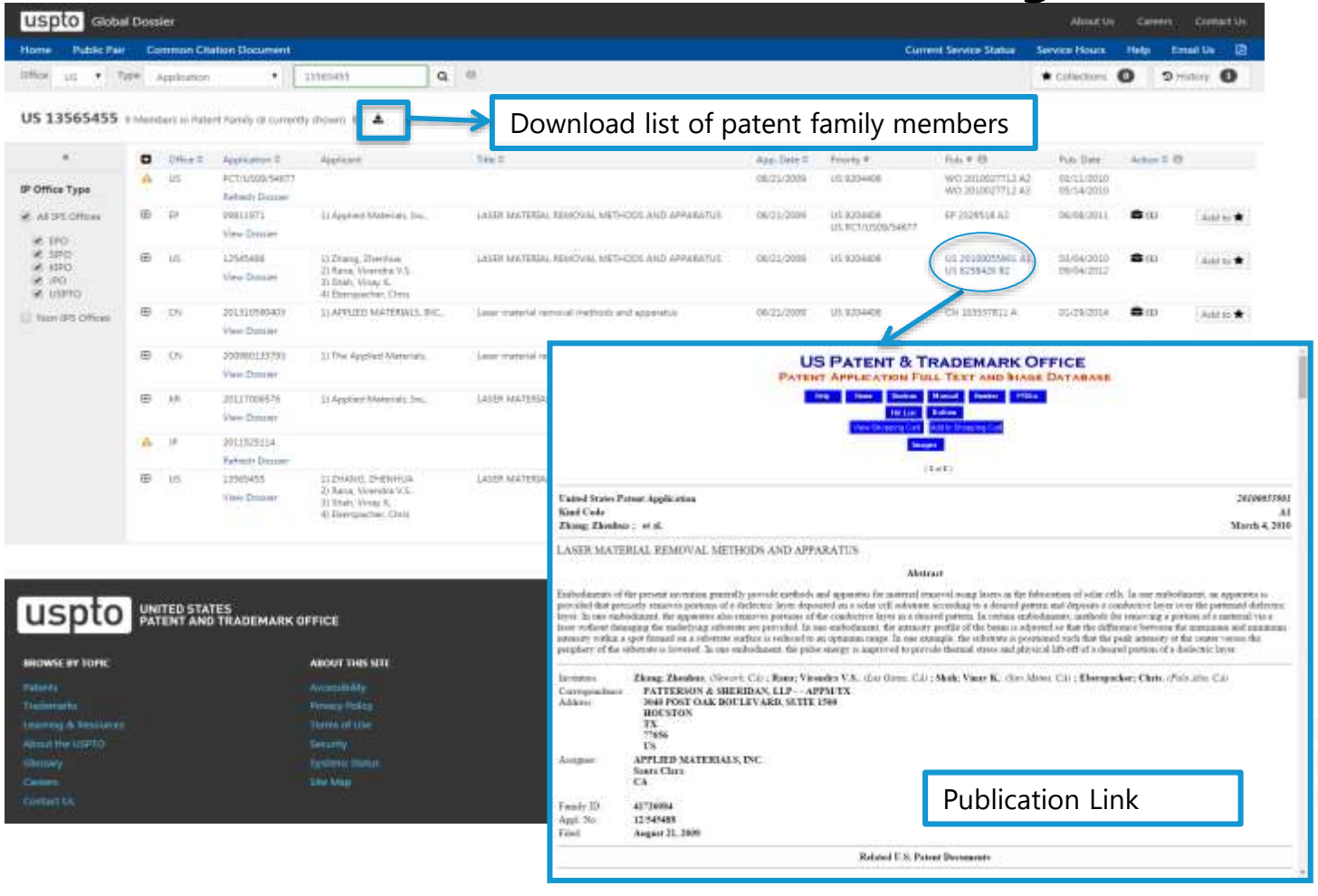
Global Dossier Family List



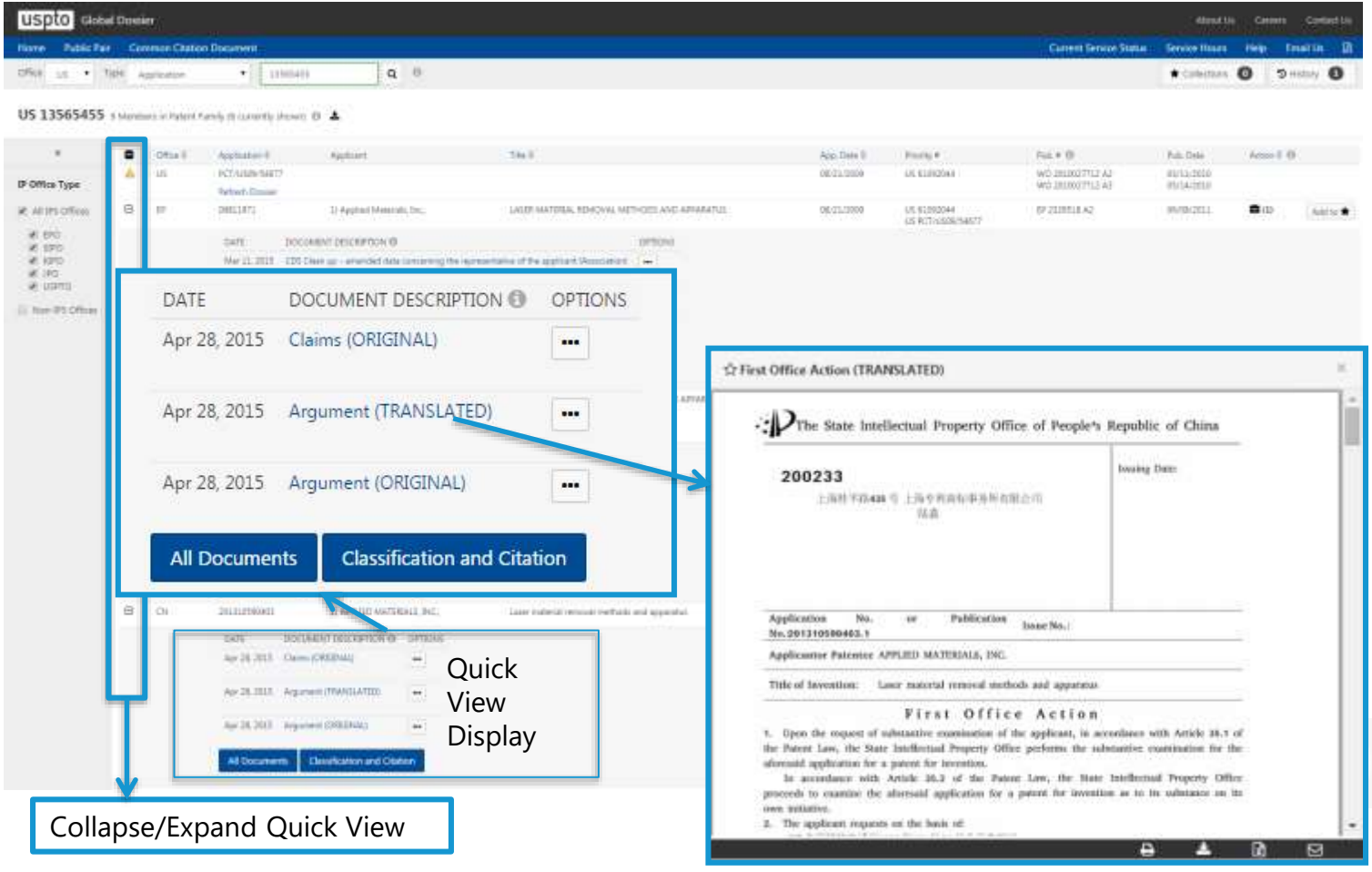
Global Dossier Family List



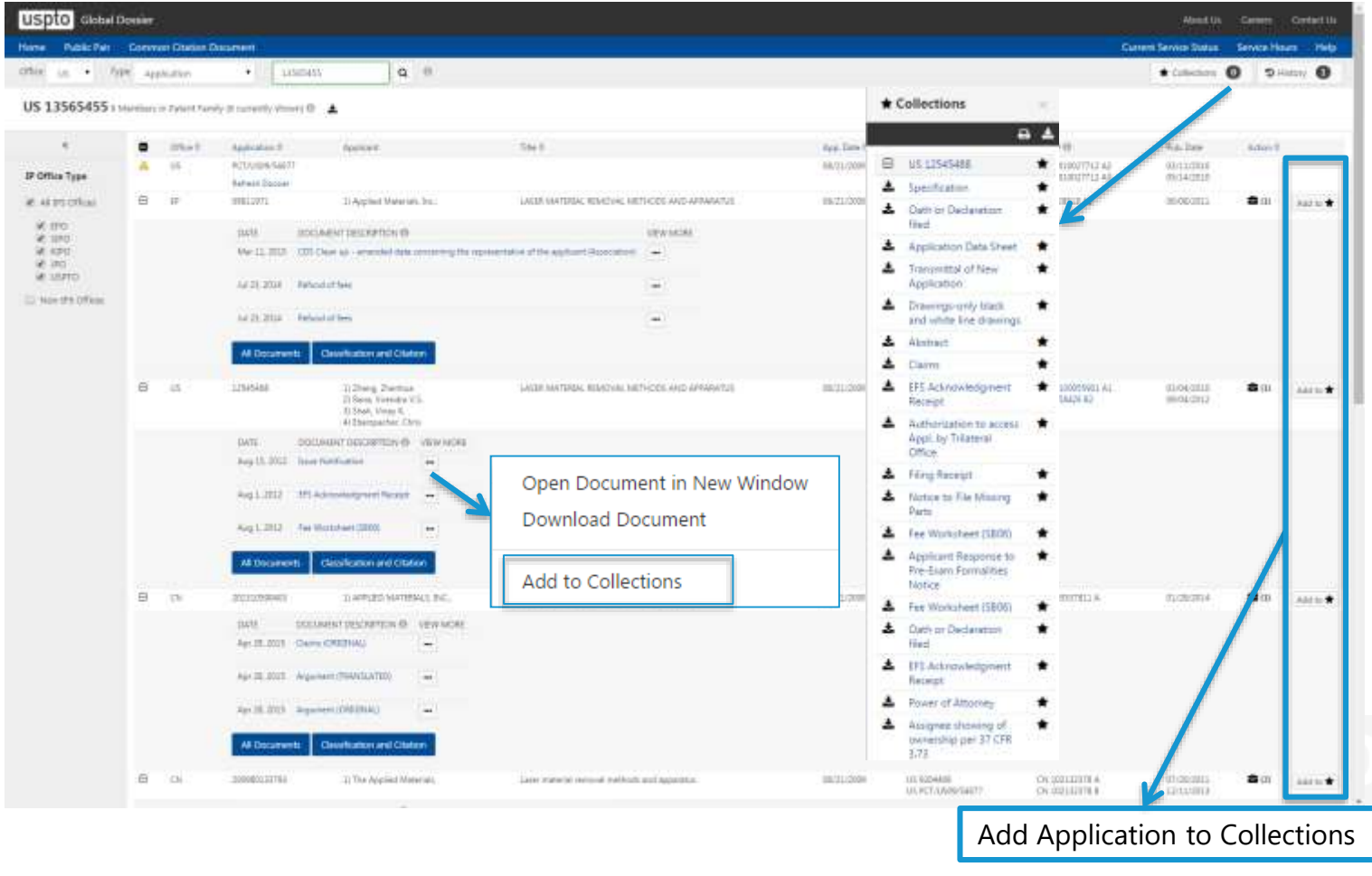
Global Dossier Family List



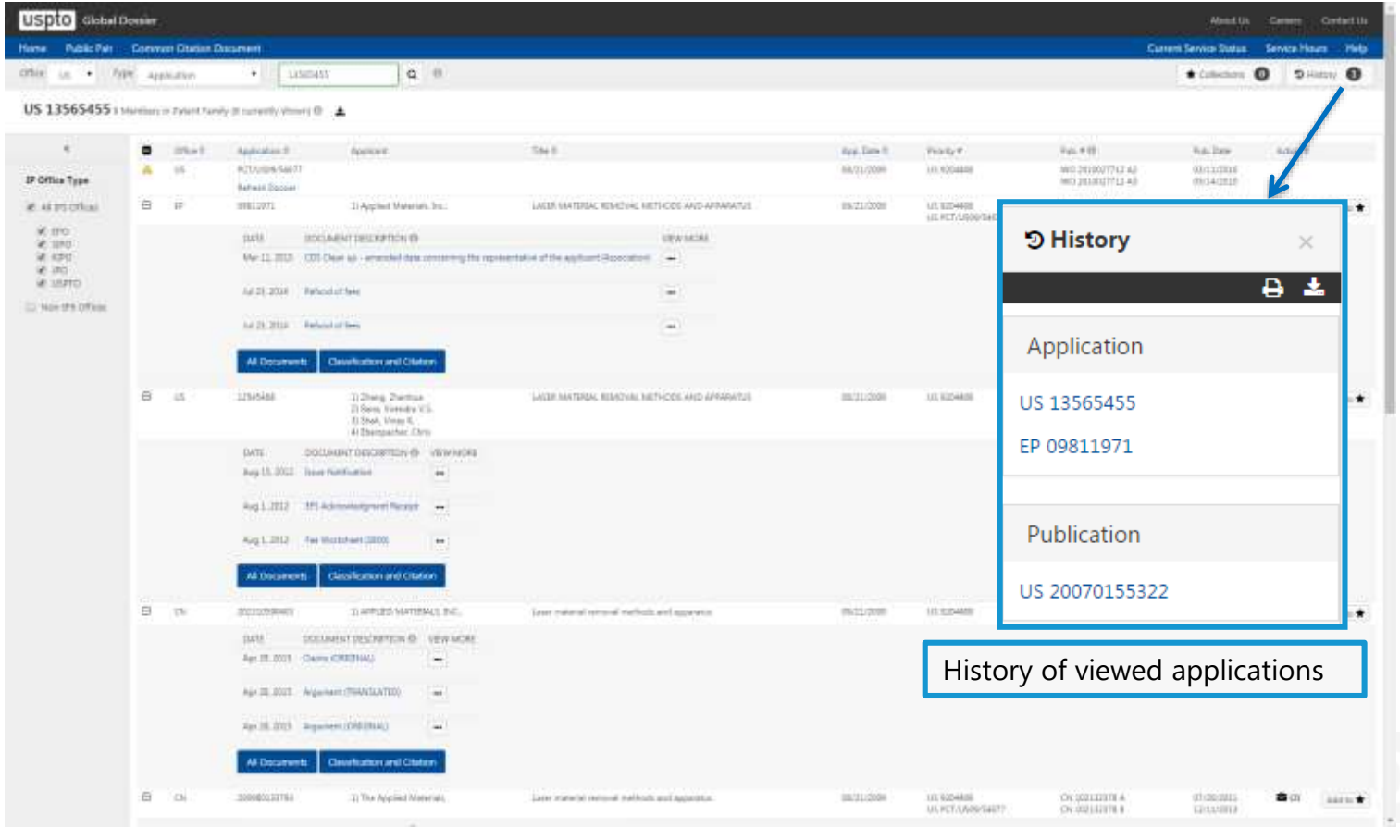
Global Dossier Quick View



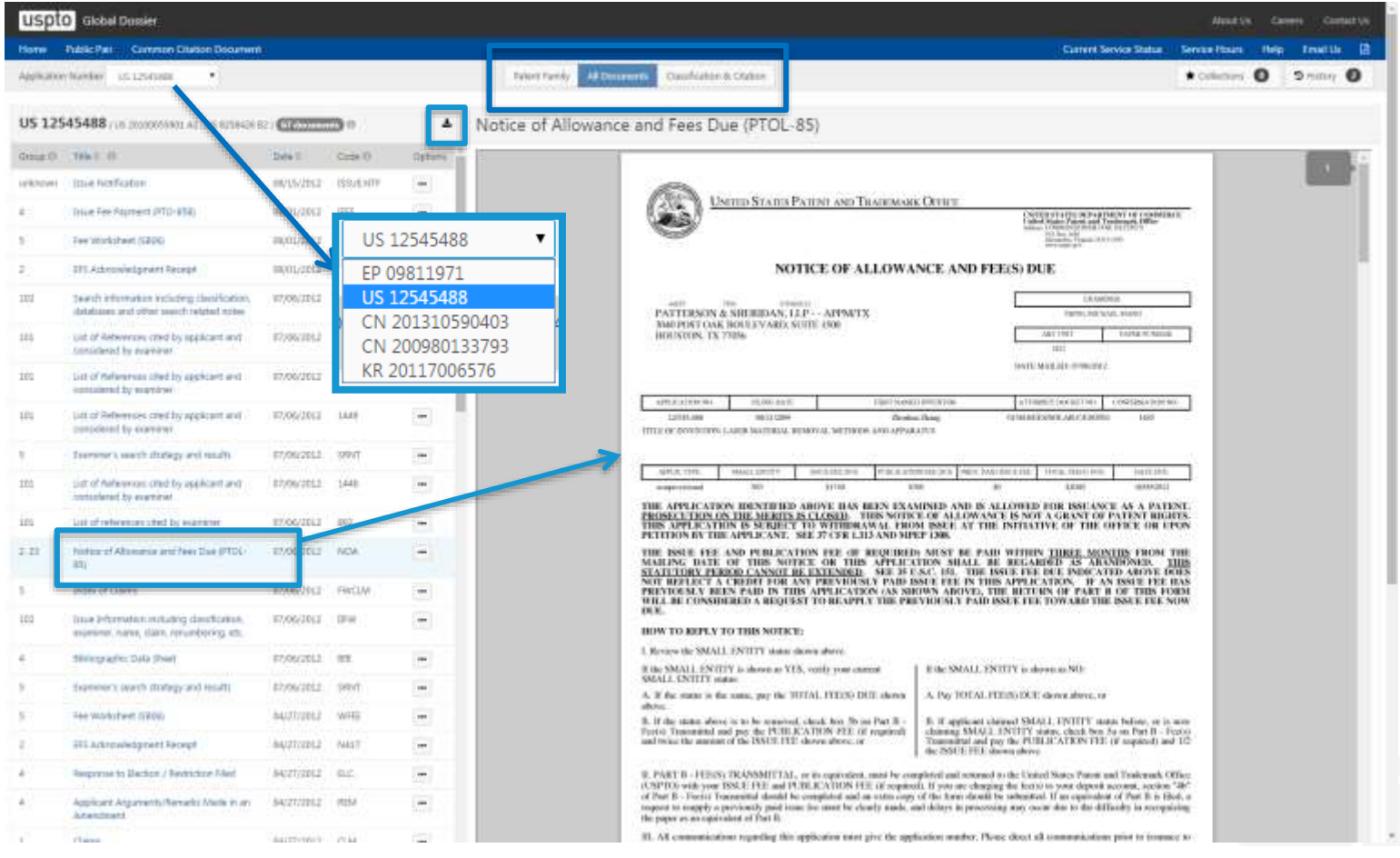
Global Dossier Collections



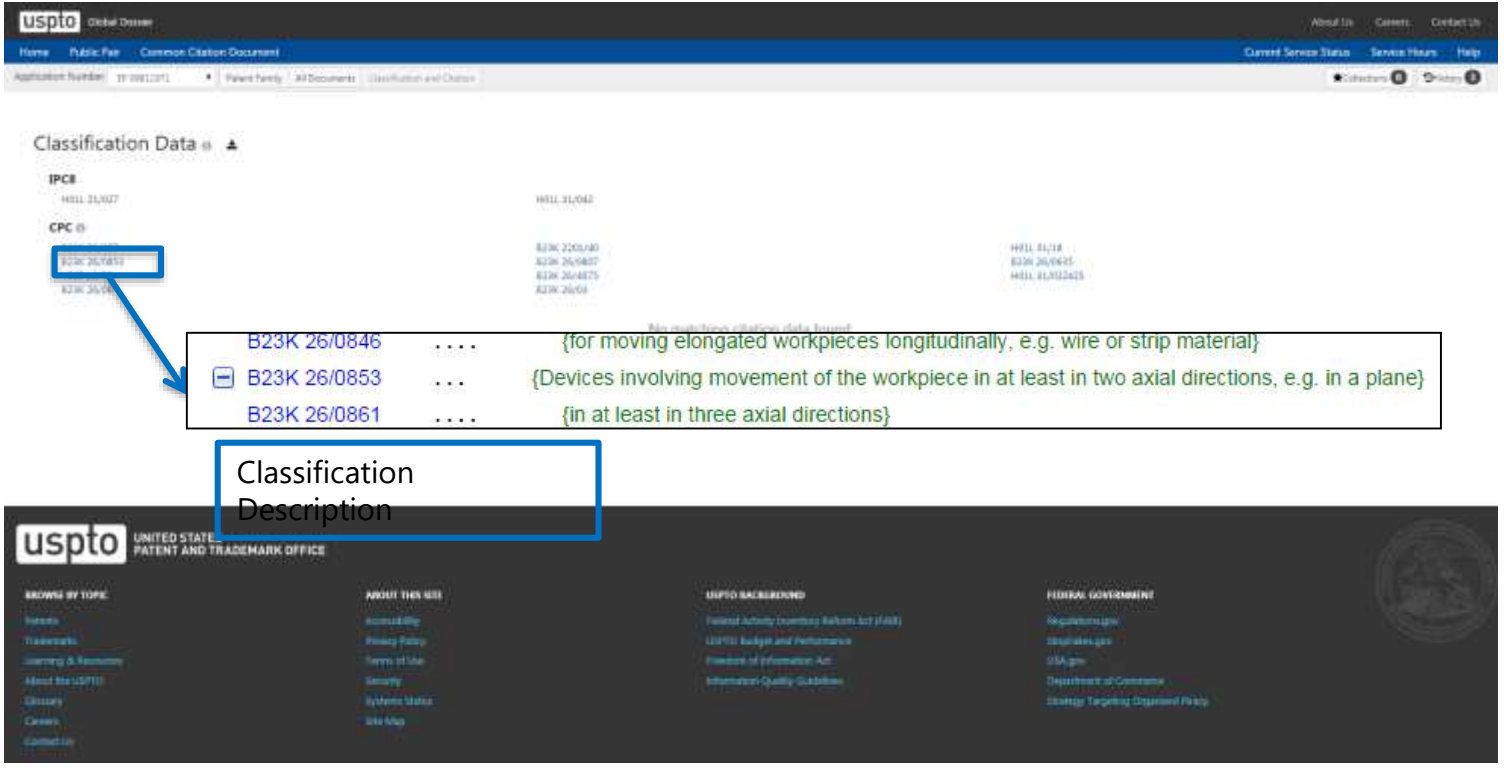
Global Dossier History



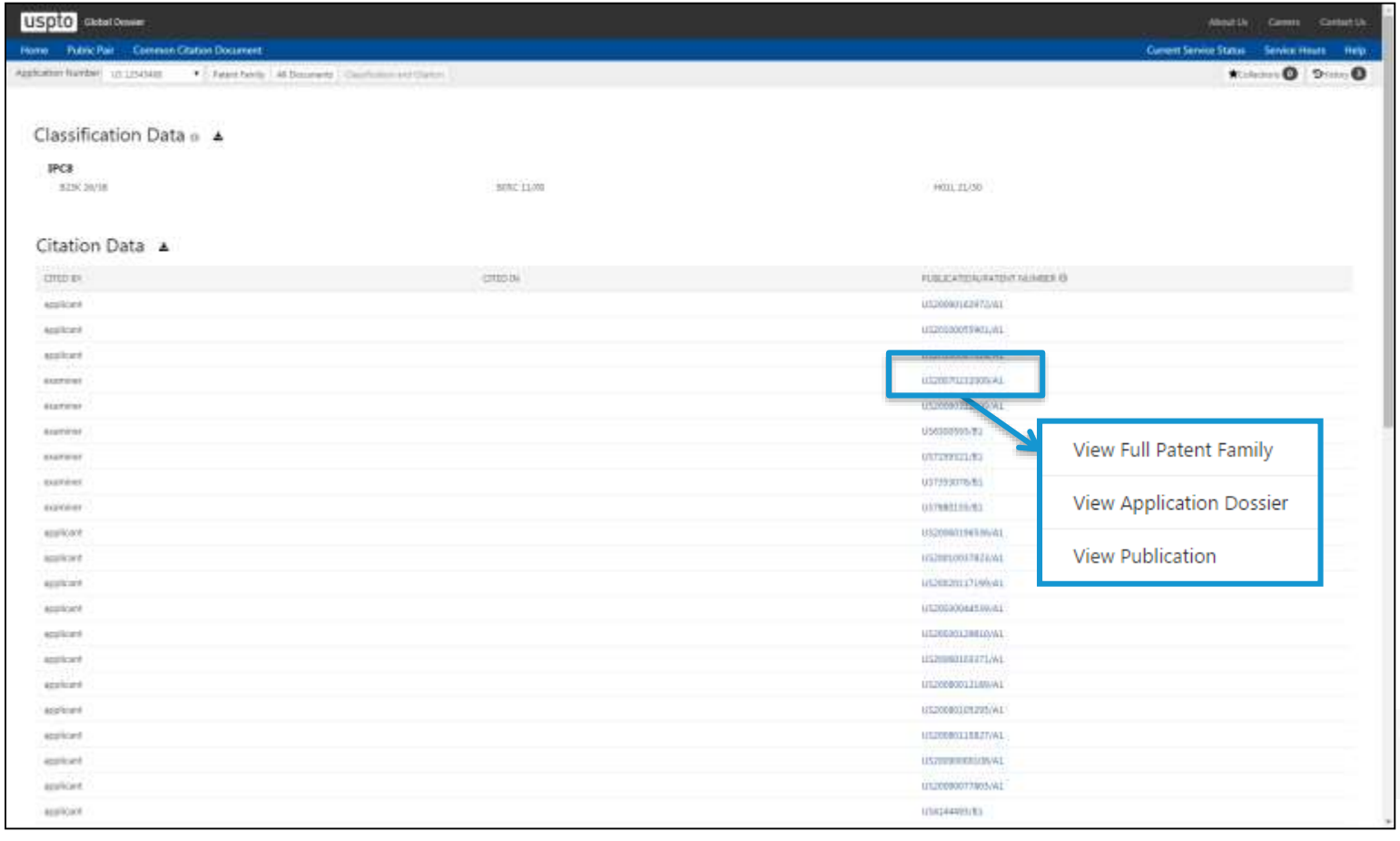
Global Dossier - Dossier View



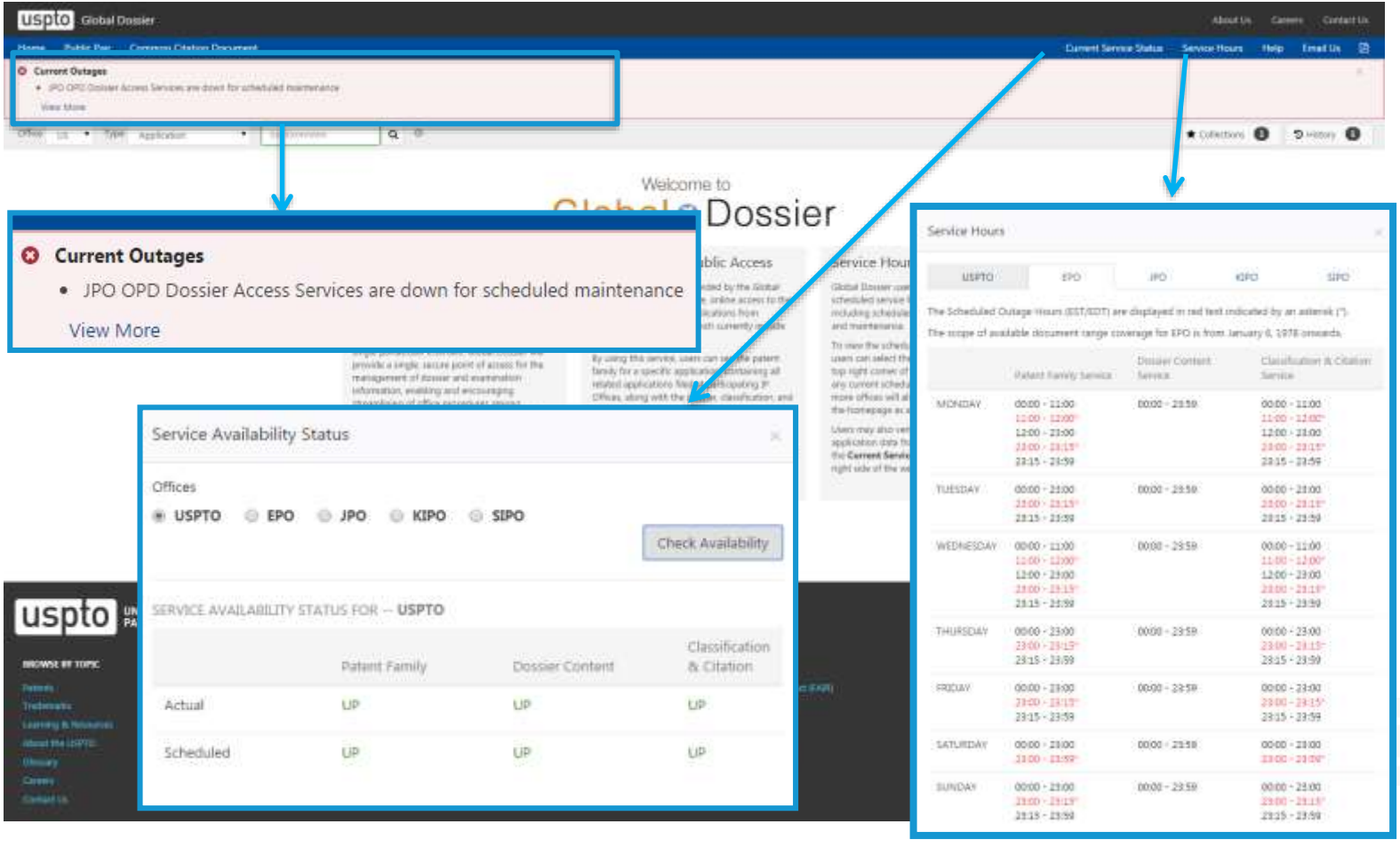
Global Dossier Classification Data



Global Dossier Citations



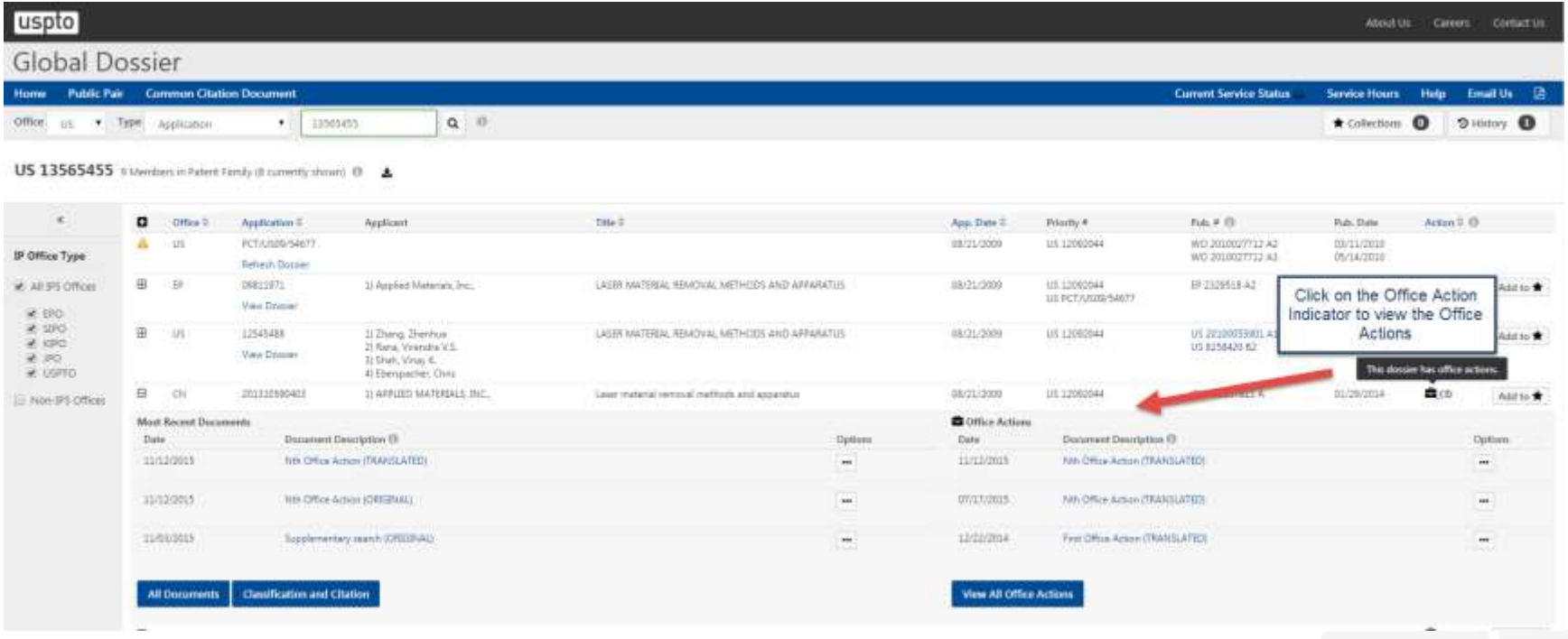
Global Dossier Availability



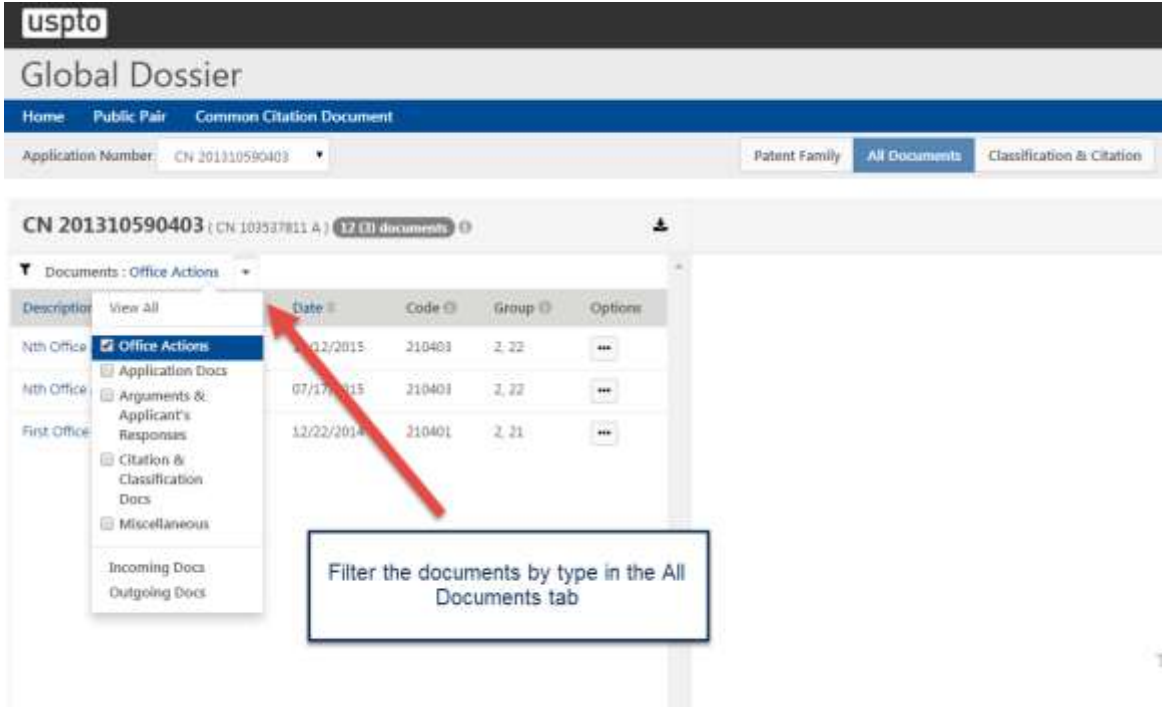
Global Dossier Enhancements

- Direct access to Office Actions from Patent Family Quick View
- Ability to filter document types when viewing application dossier
- Improved Office availability alerts (Closures, maintenance, holidays)

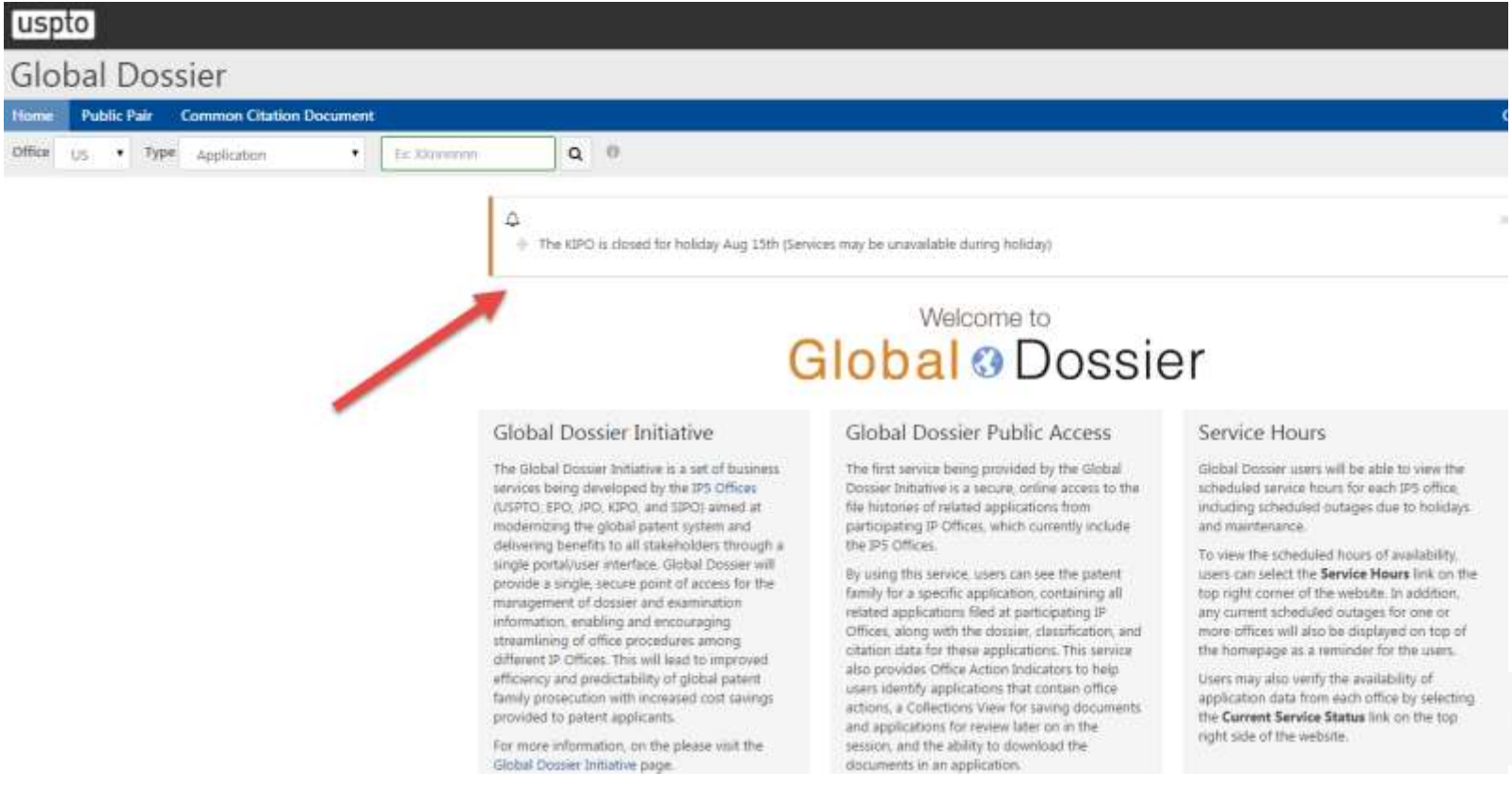
Direct Access to Office Actions



Document Filtering



Improved Office Availability Alerts



Global Dossier Data Coverage

- Accessing Office to WIPO-CASE by December 2016
  - GD access to application dossiers from WIPO-CASE member Offices (e.g. IP AU, CIPO, UKIPO)

- Working with IP5 Offices to increase scope of data coverage and hours of availability

Global Dossier Document Sharing

- Backend Document Sharing Services
  - Preliminary backend services developed
  - Documentation and code being provided by USPTO to other IP5 Offices for feedback to further refine services

- Identify next steps based on input gathered from IP5 Offices and stakeholders

GD Usage Statistics

- Dossier Access Usage (Public Accesses)
  - 31,000 accesses per day

- International Patent Family Usage (Examiner Accesses)
  - 10,000 accesses per day

Stakeholder Input on Global Dossier

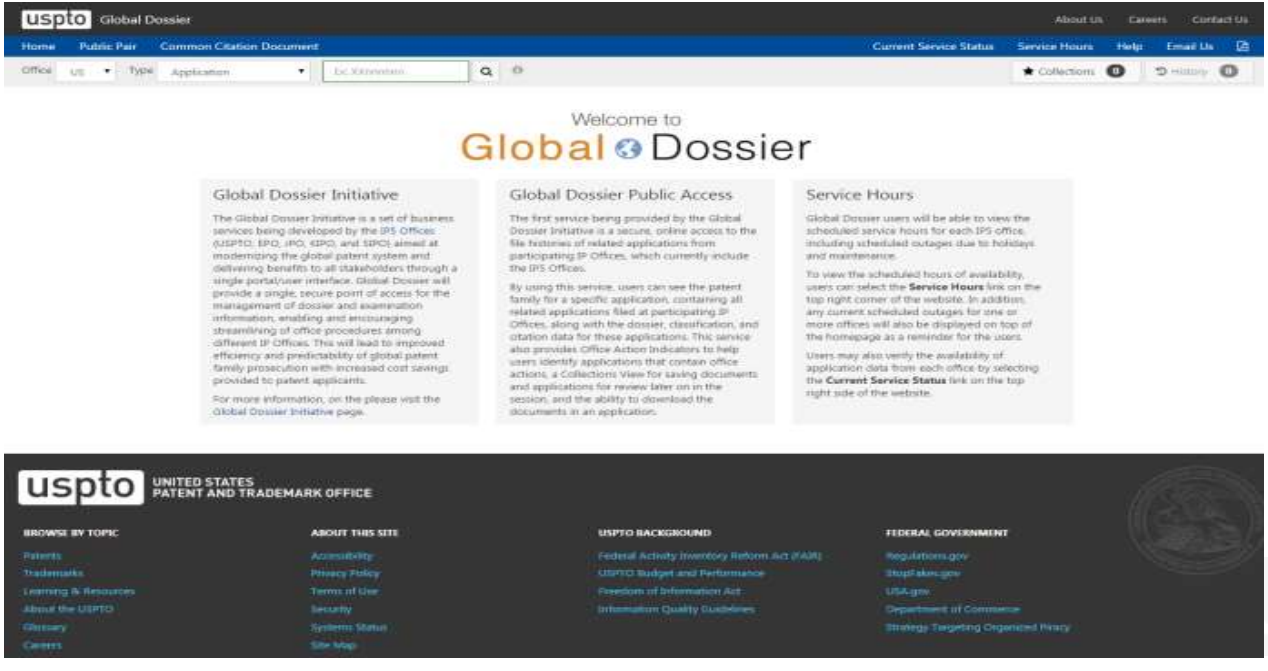
- IdeaScale - http://uspto-globaldossier.ideascale.com/
  - IdeaScale is one of the ways that OIPC will be gathering stakeholder input and feedback on Global Dossier.
    - Vote and comment on the various ideas
    - Provide additional suggestions for services and features that would improve the ability to monitor and manage related cases around the world

- Focus Sessions
  - Conducted to gather input and feedback on services

- Contact the Global Dossier Team
  - GlobalDossier@USPTO.gov

Global Dossier Access

Direct access link:
http://globaldossier.uspto.gov



Global Dossier Contacts

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Access to Relevant Prior Art

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Project Background

- Study how the USPTO can increase examination efficiency and quality by leveraging electronic resources to retrieve information (prior art, search reports, etc.) from applicant's other applications.

- Explore whether or not automatically importing relevant prior art into the US application file at the earliest point in examination would reduce the burden of duty of disclosure for applicants.

- Consider if patent issuance can be streamlined by eliminating unnecessary information from first page of patent.

Anticipated Benefits

- Quality and efficiency of examination is increased
- Examiner access to relevant prior art and supplemental information in a conveniently searchable manner
- Decreased applicant expense of submitting information and information disclosure statements
- Reduced burden for applicant compliance with duty to disclose information material to patentability

User Perspectives

Examiners

Awareness/availability: how do examiners know that relevant information art is available and how do they access it

Efficiently obtained: how does the relevant information get to the examiner in a manner and time that will increase search and examination efficiency and quality

Value Recognition – what supplemental information is available to assist the examiner in determining the relevance of prior art

Applicants

Acquiring Information: how do applicants efficiently obtain the information necessary to meet their duty of disclosure

Efficiently obtained: how do applicants avoid cumbersome, costly, and time consuming efforts to monitor prosecution in related or counterpart applications so as to obtain relevant prior art

Compliant presentation: how do applicants efficiently submit relevant prior art and related information to the examiner in a time and manner such that it complies with regulations

Project Phases

- Phase 1: Three track parallel information gathering
  - Track 1 – IT & Data Source Gathering
  - Track 2 – Application Studies Data Gathering
  - Track 3 – Data gathering from internal and external stakeholders

- Phase 2: Information Review

- Phase 2.5: Business Solution Development

- Phase 3: IT Development and Implementation*

*based on current IT roadmap and budget

Project Update

- External User Initial Focus Sessions at Regional Office Locations – June 2016
- Federal Register Notice – August 29, 2016
- Roundtable – September 28, 2016
- Examiners Focus Sessions – 1st Quarter FY 17

Prior Art Access Contacts

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Thank you!

eMod Patent Center

Improving the Electronic Patent Application Process

Lisa Tran, eCommerce Division
Office of Patent Information Management
United States Patent and Trademark Office

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Agenda

- **eMod Overview**
  - Updates to EFS-Web (Electronic Filing System) and PAIR (Patent Application Information Retrieval) Systems
- **Patent Center and Impacts**
- **eMod Phases**
  - eMod Text Pilot Program
  - eMod Patent Center Beta Program
  - Authentication Update
- **Public Involvement**

eMod: eCommerce Modernization

The **eMod Project** improves the electronic patent application process by modernizing USPTO's application filing and viewing systems

UPDATES to EFS-Web and Private PAIR

Completed Features

- Ability to accept structured text (eMod Text Pilot Program)
- Ability to deliver structured text (eMod Text Pilot Program)
- Ability to download XML (eMod Text Pilot Program)
- Link to Global Dossier (also available for public PAIR)

Upcoming Features

- Interim authentication solution

Patent Center

- New, unified system to replace EFS-Web and PAIR
  - Features single interface for filing and managing patent applications
  - Integrates recent technology for enhanced system operations and increased functionality
  - Implements new permanent authentication method
- Benefits/Impacts
  - Updated infrastructure to enable more efficient system integration
  - Increased functionality and overall system usefulness
  - Enhanced user experience through improved interface
  - Improved processes for patent submission, review, and management
  - Revamped authentication process to address current Java compatibility
  - Increased accuracy of application processing and publication

eMod Phase 1: Summer 2016

- **eMod Text Pilot Program**
  - Initial kick-off on August 15, 2016 to first few Customer Numbers registered to join the eMod Text Pilot Program
  - Will expand to additional participants starting in September 2016
  - Through EFS-Web and Private PAIR
  - Accept and deliver initial patent application submissions in .docx format
  - Incorporate updates based on user feedback

eMod Text Pilot Program

Guidelines

United States Patent and Trademark Office

EFS-Web and PAIR
eMod Text Pilot Program Participant Guidelines
Starting July 2016

Participant Guidelines:

The guidelines below express the understanding between eMod (eCommerce Modernization) Text Pilot Program participants and the USPTO regarding the activities related to the testing of the new features that will be incorporated into the new patent electronic filing and management system in development, which will henceforth be referred to as Patent Center. During the eMod Text Pilot Program, the existing electronic patent application filing and viewing tools, EFS-Web and Private PAIR, will be leveraged to learn about the text usage to include into Patent Center. The goal of the eMod Text Pilot Program is to have applicants utilize new features to [illegible] patent applic[illegible] (specifically spec[illegible]on, claims and abs[illegible]t for ne[illegible]ty application [illegible] text, and p[illegible]dback to the e[illegible]am for further [illegible]ments. eMo[illegible] Pilot part[illegible] be able to s[illegible] receive text [illegible] Private P[illegible] green[illegible] in the eM[illegible] Program, [illegible]ts [illegible]d to fo[illegible] guide[illegible] Part[illegible] not ab[illegible] [illegible]ay b[illegible] fr[illegible] Pr[illegible]

Registration

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* 2. Are you participating as a registered practitioner or independent inventor?

Registered Practitioner

Independent Inventor

* 3. Please list the Customer Numbers you would like to register for the eMod Text Pilot Program in order of priority?

You may list up to five Customer Numbers, however only the first Customer Number below will be added to the program initially. If there are available slots, additional Customer Numbers may be added into the program.

1st Customer Number

2nd Customer Number

3rd Customer Number

4th Customer Number

5th Customer Number

* 4. Requester Name (Registered Practitioner or Independent Inventor)

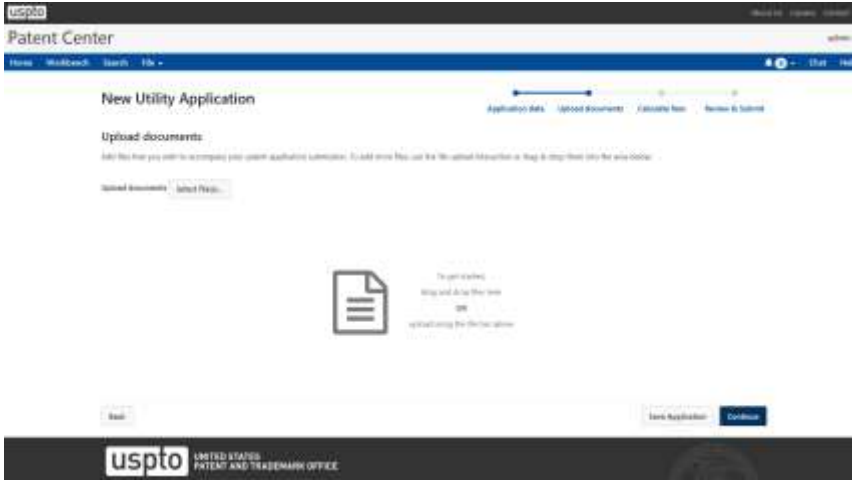
eMod Phase 2

New Interim Authentication Solution – Fall 2016

- **An additional option for applicants, however the current/old method will still be available**
- **Ensures EFS-Web and Private PAIR accessibility without interruption**
- **Temporary until permanent solution is in place with Patent Center**
- **Will address the current inability to authenticate using Chrome**
- **Bypasses the current Java applet dependency/issue**
- **Will include Digital Certificate Management functionality**
- **Additional information will be provided:**
  - Patents Alert
  - eMod website
  - EFS-Web/PAIR website

eMod Phase 2 (Continued)

- **Patent Center Beta Program – Early 2017**
  - Testing of Patent Center while in development
  - With a small group of applicants, with priority given to active participants in the eMod Text Pilot Program
  - Unified user interface
  - Key functionalities from EFS-Web and PAIR
  - Updates based on eMod Text Pilot Program



Subsequent Phases

- **Testing/Deployment of Patent Center**
  - Will be available to the public for filing and managing patent applications
  - Enhancements based on feedback gathered from testing programs
  - Functionality from EFS-Web and PAIR
  - New permanent authentication method

Authentication Method Poll

- Soft Tokens (Mobile App)
- Verification Card (Example on Next Slide)
- SMS (Text Message)
- Email One-Time Password

Sample Verification Card

Authentication Step 1:
Username & Password

Authentication Step 2:
System challenges user to reply with verification card cell values

Reply with the contents of the following cells:

B4 _D055_ D2 _____ A9_____ E10 ____

User Actions:
Read Value from Requested Row and Column and…

Insert values into proper challenge slot

Verification Card

ROW \ COLUMN	A	B	C	D	E
1	7A42	03G4	E181	935B	030G
2	C650	28A7	011D	4F34	1D86
3	009F	2D77	A913	58C2	E941
4	77B7	D055	20E5	821F	6G38
5	B513	2F45	5D94	73A0	360B
6	8F97	4D93	166C	4F47	A650
7	20E8	89A6	5F47	A994	5B93
8	D801	G853	894B	662A	964D
9	364G	818C	17C4	A089	37A1
10	A590	21A0	649E	1G48	3E11

Authentication Step 3:
System verifies replies are correct and grants access

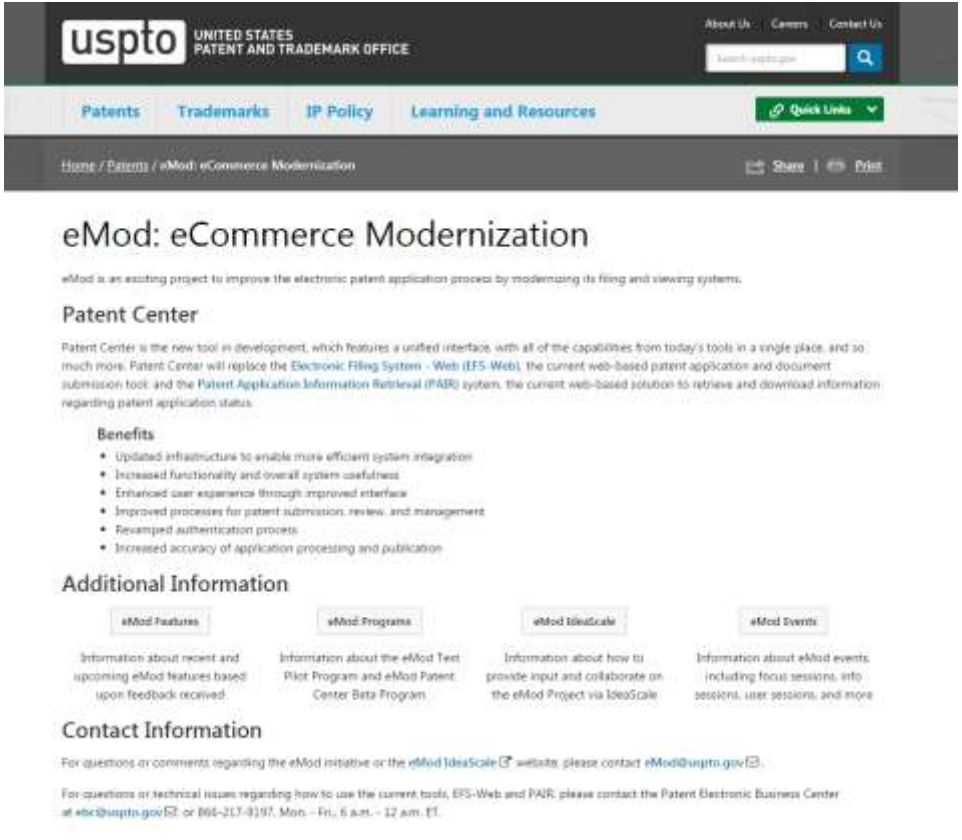
Access Granted!

eMod Ongoing Efforts

1. USPTO is committed to working with our stakeholders to assure that we understand your business needs
2. Conduct outreach to inform and seek user feedback
3. Continuously look to further streamline the process

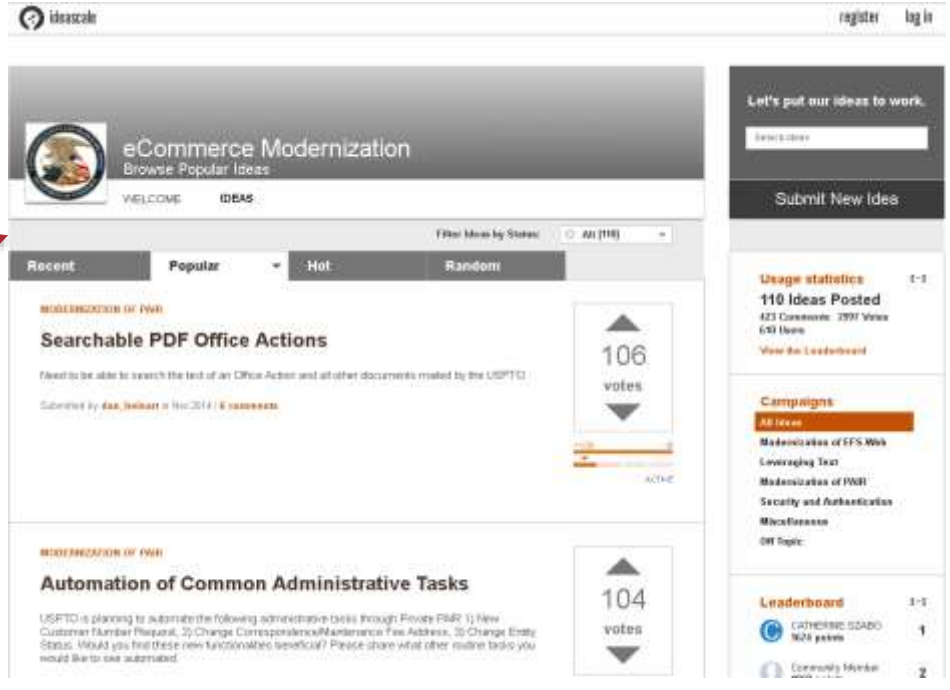
eMod Website

http://www.uspto.gov/patent/emod



eMod Public Involvement

- Get Updates:
  - Information Sessions
  - Website
- Provide Feedback:
  - Focus Sessions
  - User Sessions
  - IdeaScale (http://uspto-emod.ideascale.com)
- Help Us:
  - Sign Up for eMod Text Pilot Program
- Contact us:
  - eMod@uspto.gov



Question/Answer Feedback Session

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DEPARTMENT OF COMMERCE

Your Opinion Matters!

Please take a moment to evaluate this session.

Thank you!!

Your connection
to knowledge, resources and networking

ALA
Association of Legal Administrators